

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: :  
Donoho : Confirmation No.: 7085  
Serial No.: 10/686,462 : Group Art Unit: 3691  
Filed: October 15, 2003 : Examiner: Edward Chang  
TITLE: METHOD AND SYSTEM FOR THE PROTECTION OF BROKER AND  
INVESTOR RELATIONSHIPS, ACCOUNTS AND TRANSACTIONS

**AMENDMENT AND RESPONSE TO OFFICE ACTION UNDER 37 C.F.R. §1.111**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

This Amendment and Response constitutes a complete and timely reply to the Office Action mailed November 24, 2009 in the above-identified application. The following remarks are respectfully submitted.

**Amendments to the Claims** begin on page 2.

**Remarks** begin on page 17.